IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Sanderson et al.	)	Confirmation No. 9653
		)	
Serial No.:	10/051,560	)	Art Unit: 3623
		)	
Filed:	January 17, 2002	)	Examiner: Kalyan K. Deshpande
		)	
For:	METHOD FOR TRACKING FUTURE SUPPORT ENGINEERING REQUESTS	)))	

DECLARATION OF GARY M. SANDERSON, JOSE Q. SAAVEDRA, AND JAMES B. SWANK UNDER 37 C.F.R. § 1.131

We, Gary M. Sanderson, Jose Q. Saavedra and James B. Swank, hereby declare as follows:

1.   We have personal knowledge of the following facts and can competently testify thereto.

2.   We are the co-inventors of the invention described and claimed in the U.S. Patent Application Serial No. 10/051,560 ("the '560 Application") entitled "Method for Tracking Future Support Engineering Requests." Attached hereto as Exhibit 1 are true copies of Record of Invention executed by us on April 17, 2001, as evidenced by our dated signatures which appear on the second page thereof. The Record of Invention specifies that we are the original and first inventors of the subject matter which is claimed and for which a patent is sought in the '560 Application.

3.   We submit this Declaration in response to the rejection of the claims of the above-identified patent application based on the disclosure set forth in United States Patent Publication No. 2003/0126001 to Norcutt et al. As set forth below, the invention of the present application was made prior to the filing date of the NORCUTT reference, i.e., December 28, 2001.

Submitted herewith, as Exhibit 2, a powerpoint presentation titled Technical Evaluation Request TER Online System, is a documentation evidencing the making of the claimed invention. The documentation comprises pages from the powerpoint presentation describing

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goals and flows of an online request tracking system. The documentation described the roles and responsibilities of an Originator and personnel at four review levels.

Also submitted, as Exhibit 3, a copy of a Draft of Future Support Engineering Request Process & Requirement Document, is a documentation setting forth the detailed specification of the online request tracking system. The documentation further described responsibilities of the Originator and the four levels of review board, content of the online forms, data fields required for submitting a request, details of review processes and detailed descriptions of various parts of the online request tracking system.

The documentations set forth as Exhibit 2, and Exhibit 3 were generated at least as early as April 16, 2001, as indicated by the signatures and dates at the bottom of every page of the documentations. In addition, as shown below, the documentations conform largely to the drawings and specification of the patent application of present invention.

The documentation of Exhibit 2 at pages 5-6 lays out the flow diagram of a request submitted through the online request tracking system, which conforms to Fig. 2 of the patent application. Both diagrams show a first step of generating draft request, a second step having a first level review board review of the request, a third step of having a second level review board assigning the request to appropriate personnel. Both diagrams further show a fourth step of working on the request by the personnel, denoted assignee in Exhibit 2 and Facilitator in Fig 5. Both diagrams further show a fifth step of having a fourth level review board review/approve the request, and a sixth step of having a fifth level review board performing a final review of the request.

Figure 1.2 at page 3 of the Exhibit 3 provides a flow diagram that conforms to Fig. 2 of the patent application. In addition, Exhibit 3 sets forth the required data fields in a request form in Table 2.1, 3.1, 4.1, 5.1, 6.1, 7.1, and 8.1 which conform to Figs. 4, 5, 6A/B, 7, 8A/B, 9A/B, and 10A/B, respectively, of the patent application.

Therefore, the invention of the presentment application was made at least as early as **April 16, 2001,** as indicated on the bottom of every page of Exhibit 1, Exhibit 2, and Exhibit 3.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States
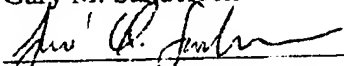
Code, and that such willful false statements may jeopardize the validity of the `560 application or any patent issued thereon.
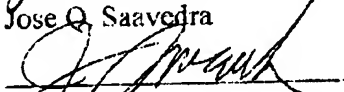
Date: 9/14/06

By: _____
Gary M. Sanderson

Date: 9/14/06

By: _____
Jose Q. Saavedra

Date: 9/14/06

By: _____
James B. Swank

Exhibit 1

COPY

RECORD AND ASSIGNMENT OF INVENTION
Form C-25 (3-99)*

(A) INVENTOR(S)

(1) Sanderson   Gary   Michael   8699 (Dept#)   (321) 951-5402
    LAST NAME   FIRST NAME   MIDDLE NAME   ORG/ZONE   TELEPHONE NO.

Current Address: 3670 Eagle Way   Melbourne   FL   32934
                 STREET   CITY   STATE   ZIP

Job Title: Engineer 4, Test & Evaluation Engineering   SSN: 020-54-1609   Empl No.: 273611

Job assignment at invention conception: Test and Evaluation Engineer , PME & ICS IPT

(2) Saavedra   Jose   Quintin   8626 (Dept#)   (321) 951-5190
    LAST NAME   FIRST NAME   MIDDLE NAME   ORG/ZONE   TELEPHONE NO.

Current Address: 4735 Longbow Drive   Titusville   FL   32796
                 STREET   CITY   STATE   ZIP

Job Title: Engineer 4, Systems Engineering   SSN: 584-90-0063   Empl No.: 173365

Job assignment at invention conception: IPT Engineering Lead, PME & ICS IPT

(3) Swank   James   Byron   8571 (Dept#)   (321) 951-5136
    LAST NAME   FIRST NAME   MIDDLE NAME   ORG/ZONE   TELEPHONE NO.

Current Address: 2642 Lowell Cir   Melbourne   FL   32935
                 STREET   CITY   STATE   ZIP

Job Title: Engineer 4, Test and Evaluation, PME & ICS IPT   SSN: 292-38-9604   Empl No.: 166453

Job assignment at invention conception: Test & Evaluation Engineer, PME & ICS IPT

(B) TITLE OF INVENTION: Technical Evaluation Request (TER) Process and Future Support Engineering Request Process, Online Tools

(C) HOW IS INVENTION RECORDED? Overview Presentations, DRAFT Process and Requirements Document

(D) DATES AND PLACES OF INVENTION:

(1) First conceived: August, 2000   at Northrop Grumman, MLB, FL

(2) First sketch or drawing: October, 2000   at Northrop Grumman, MLB, FL

(3) First written description: October, 2000   at Northrop Grumman, MLB, FL

(4) First test or operation of invention: October, 2000   at Northrop Grumman, MLB, FL

(E) DISCLOSURES:

(1) To other persons (name, company/agency, date, place):

_____, _____, on _____, at _____

_____, _____, on _____, at _____

_____, _____, on _____, at _____

(2) In technical papers, oral presentations, etc. (include dates): Oral Presentation to Management of Proposed TER (Technical Evaluation Request) Online Tool on October, 2000

(3) Covered by Nondisclosure Agreement? No

(F) DESCRIBE ANY ACTUAL OR PROPOSED USE OF THE INVENTION IN A NORTHROP GRUMMAN PRODUCT:

Used to process Technical Evaluation Requests (TERs) and Future Support Engineering Requests (FSERs).

(G) WAS THE INVENTION CONCEIVED OR REDUCED TO PRACTICE UNDER A GOVERNMENT CONTRACT?

☒ Yes   Contract No.   F09603-96-C-0005 (PME & ICS)   ☐ No

(H) WAS THE INVENTION CONCEIVED OR REDUCED TO PRACTICE UNDER NON-CONTRACTUAL TECHNICAL ACTIVITY (IRAD, MTA, OTA, ETC.)?

☐ Yes   Project No.   _____   ☒ No

(I) IS INVENTION RELATED TO CURRENT COMPANY BUSINESS?

☒ Yes   ☐ No

(J) ENTER PROGRAM/PROJECT NAME AND/OR 1–2 KEYWORDS FOR THIS INVENTION:

PME & ICS and TSSR Programs. TER and FSER Online Tools

(K) STATEMENT OF INVENTORSHIP AND ASSIGNMENT OF INVENTION HEREIN RECORDED:

I (We) believe I am (we are) the inventor(s) of the invention identified on this form and in consideration of my (our) employment by Northrop Grumman Corporation hereby assign my (our) entire right title and interest in and to said invention in the United States and foreign countries to Northrop Grumman Corporation, and further agree to sign, upon request, all papers and do all things required to properly perfect and file patent applications in the United States and/or foreign countries covering the subject matter of the invention, and to assign any and all patent applications covering said invention to Northrop Grumman Corporation.

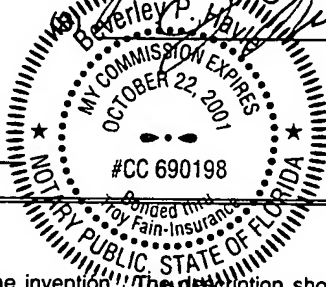In witness whereof, I (we), the said inventor(s), have hereunto subscribe my (our) name(s)

this _17_ day of _April_ , ~~19~~ 2001 (1) _____

State of Florida
County of Brevard .   (2) _____
                                                   Beverley P. Hayle

WITNESSED AND UNDERSTOOD BY:

Beverley P. Hayle.
Beverley P. Hayle.   #CC 690198   ID: Personally Known to me .

INSTRUCTIONS:

(1) Attach a brief, but complete technical description of the invention. The description should contain enough detail to enable a reader to fully understand the invention. You may use and attach copies of sketches, prints, photographs and illustrations which should be signed and dated. The description need not contain the detail expected to be found in technical reports, proposals, or technical papers, although copies of technical reports or other documentation which are readily available should be included. You should discuss the problems which the item is designed to solve, referring to any prior devices of a similar nature and the advantages the item has over presently known devices, systems, or processes.

(2) Attach a list (and copies if available) of all known prior art which is relevant to the invention. State briefly the differences between the invention and the prior art and any advantages the invention has over the prior art.

(3) The inventor(s) and a technically competent witness must sign and date the C-25 form and each page of the technical description and drawings/sketches.

(4) In accordance with the Northrop Grumman Employment Agreement signed at the time of employment, the subject matter of inventions is not to be disclosed to any person, form or company unless such disclosure is expressly authorized by Northrop Grumman.

(5) Send completed forms to: **Law Department, Intellectual Property and Technology Section, M/S 60/110/N1-3.**

Form C-25 (3-99)* Back

Exhibit 2

Technical Evaluation Request

TER

Online System

In development at http://mlbwebdv/engineering/dept_test/scripts/cfm/auth/ter

Live at http://mlbweb/engineering/dept_test/scripts/cfm/auth/ter

Agenda

- Rationale for Change

- Online Advantages

- Online Process

- Roles & Responsibilities
  - Originators
  - Levels 1 - 4 (Changers & Reviewers)
  - Actionees
  - Administrators

- Testing

- Demonstration

- Questions/Comments

Rationale for Change

(handwritten signatures and dates: 4-16-01, 4-16-01, 4-17-01)

- Existing process email and paper based

- Originator has little insight into TER progression

- Provide TER visibility to entire Joint STARS community

- Simplify TER process

- Automate the TER process

- Provide permanent record of all TERs and actions

Online Advantages

- **Provide permanent record of all TERs and actions**

- **Originators and all users have ability to view TERs and TER status**

- **Computer/OS/Application/Browser independent**

- **Clearly defined roles so everyone knows what they need to do**

Online Process

Generate Draft TER [1]

RAFB POC Draft TER Review/Approval [2]

Reject Out of Scope

Approve

TER Reports

TER Admin

A/C & Lab SPT POC Assign Actionee to TER [3]

Periodic Status

Actionee Provides Suspense Date, Status, and Response [4]

Response

A/C & Lab SPT POC Review and Forward to PMO [5]

Comments

PMO Review & Approval [6]

Approval

RAFB POC Process TER Closure [7]

Online Process (Cont.)

Process Step #

Originator

Generate[1] Draft TER

Reject Out of Scope

Level 1

RAFB POC Draft TER Review/Approval 2

Approve

All

TER Reports

Administrators

TER Admin

Level 4

RAFB POC[7] Process TER Closure

Approval

Level 3

PMO Review & Approval 6

Comments

Level 2 & Actionee(s)

A/C & Lab SPT POC Assign Actionee to TER 3

Periodic Status

Actionee Provides Suspense[4] Date, Status, and Response

Response

A/C & Lab SPT POC Review and Forward to PMO 5

Roles & Responsibilities

- **Originator** (Process Step 1)
  - Creates Draft TER
  - Receives Email updates throughout process
  - Can always get report on status of TER
  - Draft TER is forwarded to Level 1 Change Personnel

- **Level 1 Change** (Process Step 2)
  - Reviews Draft TER created by Originator
  - Makes changes to TER if necessary
  - Approves or Rejects Draft TER
  - On approve
    - TER assigned TER Number
    - TER is forwarded to Level 2 Change and Review personnel
  - On Rejection
    - Removes TER from view from users
  - Originator is informed of action and status of TER after action
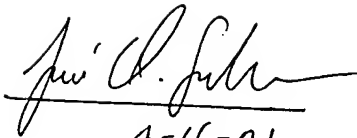
Exhibit 3

Future Support Engineering Request

Process & Requirements Document

DRAFT

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1.0   Introduction

This document defines the requirements for developing and using the system for tracking requests for technical support from Northrop Grumman Engineering by Warner Robins Field Support Personnel. In support of this effort the existing prototype Technical Evaluation Request (TER) Online Tool on the Northrop Grumman (NG) Melbourne Unclassified Intranet (http://mlbweb.mlb.esid.northgrum.com/ter) will be modified to track all reach-back efforts, studies, technical requests, and other issues associated with the Total System Support Responsibility (TSSR) program. Requests, currently called TERs will be called Future Support Engineering Requests (FSER) and be worked under Future Support (FS) guidance. Existing TERs shall (1) be converted to FSERs and retain their original number. The TER numbering scheme will be used. This scheme is xx-yyyy where xx is the last 2 digits of the year the TER was created and yyyy is the sequential number when the TER was approved. This new tool will be used for all efforts requiring more than 4 man-hours. Efforts less than 4 man-hours are to be recorded and tracked in the TSSR Contact Log Sheet on the Melbourne Intranet (accessible from the above URL).

The FSER Online Tool provides a means to capture, track, status, and document all work performed on the TSSR contract. This information will then be used for future problem resolution, future planning, award fee justification, and other activities. The FSER process is not meant to hinder emergency or critical work. It is a work tracking mechanism. Requests for assistance that are critical or emergency can be back-filled in the FSER tool once the problem is addressed.
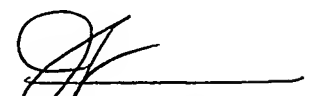
The existing TER tool's code, structure, administration, help files and documentation will be used as a baseline for this effort. The tool will run over the Melbourne Intranet. It will be developed on the Melbourne Intranet development web server and hosted for use on the Melbourne Intranet production server. Cold Fusion will be the primary programming language with a small amount of Javascript. The tool will be available to all users of the Northrop Grumman PC network. There will be no limitations on who can create a draft FSER. The process provides for filtering of erroneous FSERs.

The basic flow of an FSER will follow the flow as illustrated in Figure 1.1. Seven distinct steps are defined in the FSER process (Two each at 2 different starting points plus 5 other inline steps). At present, five distinct levels of authority for FSERs are defined.

Figure 1.2 provides a breakout of the Levels and personnel. A Level number identifies each Level. Level numbers rather than specific names or positions will allow the Future Support organization to change without a need for the tool or its structure to change. At each Level there are three sub-groups of personnel: Primary, Alternate, and Reviewer.

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The Primary person at each Level is responsible for performing all of the actions on the FSERs. At each level an Alternate person is designated and responsible for taking action when the Primary person at that Level is unavailable

Reviewers for any level can only view FSER reports. Reviewers should be thought of as a distribution list. They get notified throughout the process of action that is recorded against a FSER.

There are three other personnel in the FSER process designated in this document. They are the Originator, the Actionees and the Administrator. An Originator creates an FSER at steps 1a and 1b. They can also add status at step 5. An Actionee is assigned to work an FSER at step 4 and provide status and final response at step 5. An Administrator maintains the list of personnel at each level, can correct FSERs when needed, and maintain the overall integrity of the tool.

All Levels, steps, and personnel involved in the process will be detailed later in this document.

As a user (any of the above defined personnel) takes action in the FSER tool, their name and Level shall (2) be maintained. This information will control the access to each step. For example, only a Level 3 person can access the FSER Review Board Initial FSER Assignment area.
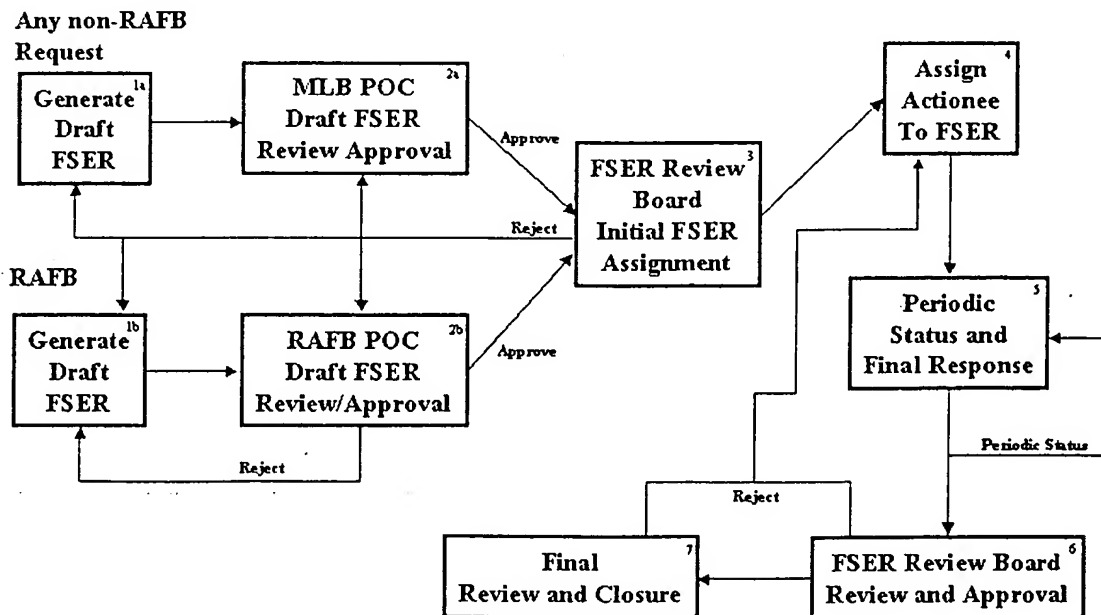

Figure 1.1 Process Flow

Table 2.1 – Draft FSER Form Fields

• Originator (!)	• Customer Need Date (*)
• Organization (*)	• WUC
• Email (!)	• Part Number
• Requesting Organization	• Nomenclature
• Mail Stop	• Serial Number
• Phone Number (*)	• A/C Position
• Pager	• Attachment 1
• FAX Number	• Attachment 1 Description
• Category Assignment (*)	• Attachment 2
• Priority (*)	• Attachment 2 Description
• Asset Impacted (*)	• Related FSERs
• Occurred During (*)	• Description of Problem (*)

The Originator selects the Submit button upon completion of the form. Once the Submit button is selected a page (Draft Entry Page 2) shall (3) appear showing the Originator all of the data they just entered. This shall (4) include any attachments that are available as hot links. The Originator must now select the Submit for Review button to generate the draft FSER or select the "Back to Change" button to make modifications.

If the" Submit for Review" button is selected on Draft Entry Page 2, the Originator shall (5) be notified the FSER has been submitted for Level 1 review. Level 1 review is identified by step 2a in Figure 1.1. An email message shall (6) be generated automatically and sent to the Level 1 (Melbourne) personnel instructing them a draft FSER has been created and, containing a link to the page for their action and the contents of the FSER. The Originator shall (7) also receive an email containing a link to their draft FSER in the tool and the contents of the FSER.
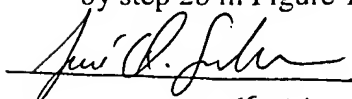
If the "Back to Change" button is selected the Draft Entry page shall (8) be redisplayed with the entered data with the exception of the attachment(s). Any attachments must be reselected.
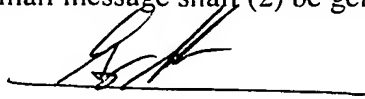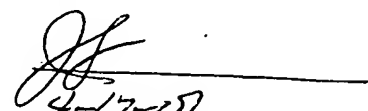
2.2 RAFB Draft FSER Generation

Step 1b shall (1) provide a draft FSER form. All processing by an RAFB Originator will be the same as section 2.1 above with the exception of the Level 1 person being at Robins AFB.

2.3 Draft FSER Processing

Once the submit button is selected on Draft Entry Page 2, the RAFB Originator shall (1) be notified the FSER has been submitted for Level 1 review. Level 1 review is identified by step 2b in Figure 1.1. An email message shall (2) be generated automatically and sent
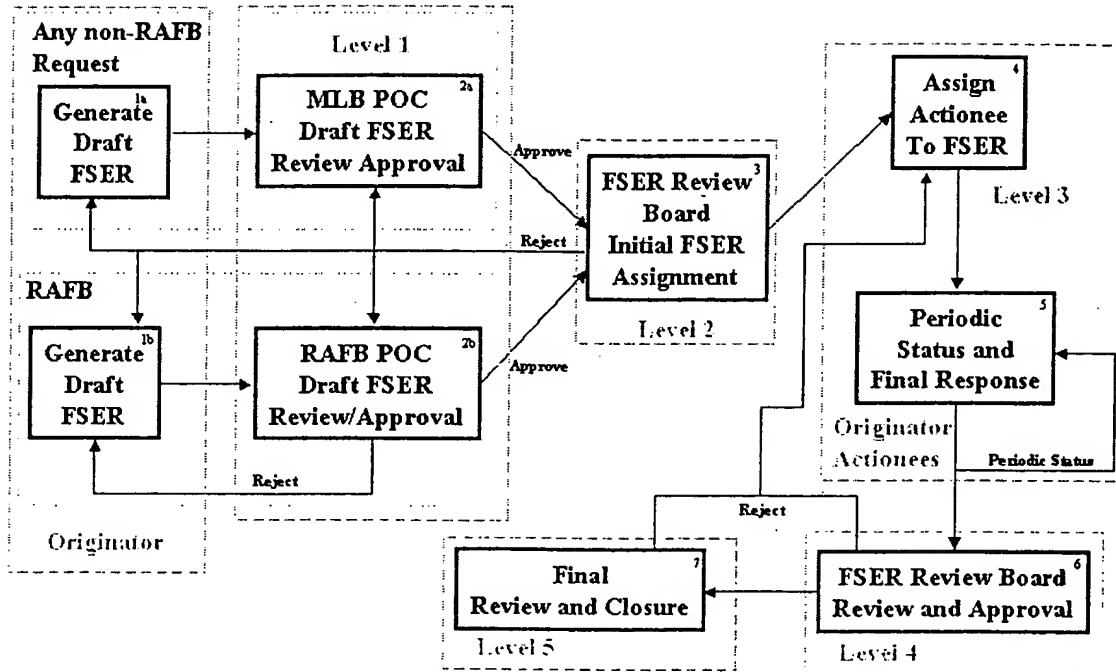
Figure 1.2 Process Flow and Levels

2.0   Generating a Draft FSER

Steps 1a or 1b, Figure 1.1 is the step for generating a draft FSER. Generation of draft FSERs by RAFB personnel occurs at **Step 1b**. Generation of draft FSERs by all other personnel occurs at **Step 1a**. Once a FSER is created it cannot be retracted. It must go through the identified process. Erroneous or duplicate FSERs can be removed at steps 2a, 2b, and 3 by Level 1 and Level 2 persons, respectively.

FSERs drafted with a priority of "High" should be expedited through the process. This is accomplished by allowing the Primary and the Alternate personnel at all levels the ability to work the FSER. At steps 2a, 2b, and 3 the priority shall (1) be able to be changed.

2.1   Non-RAFB Draft FSER Generation

Step 1a, provides for generating a FSER online at the URL:
http://mlbweb.mlb.esid.northgrum.com/fser for a person requiring Field Support actions or Field Support work. From this point forward this person will be referred to as the Originator of an FSER. An FSER form (Draft Entry Page 1) shall (1) appear after selecting step 1a on the Main Menu. Some fields on the form are required and the form will not process without these entries.

The Draft FSER form shall (2) include the following fields (*-Required, !-System Generated):

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to the Level 1 (RAFB POC) personnel informing them that a draft FSER has been created. The mail message shall (3) contain a link to the page for their action and the contents of the FSER. Additionally, the Originator shall (4) receive an email containing a link to their draft FSER in the tool and the contents of the FSER.

3.0 Draft FSER Review and Approval Level 1

Steps 2a and 2b of Figure 1.1 represents the action required of a Level 1 person. As described in paragraph 2.1, step 2a applies to non-RAFB generated requests. Paragraph 2.2 describes step 2b, which applies to RAFB generated requests. The Level 1 Primary personnel shall (1) have the capability to modify, approve or reject an FSER. For high priority FSERS, Level 1 Alternate personnel shall (2) have the capability to perform the necessary action if the Primary Level 1 person is not available. The Primary and Alternate Level 1 personnel must take care not to duplicate their efforts and/or cause FSER database conflicts and write-overs.
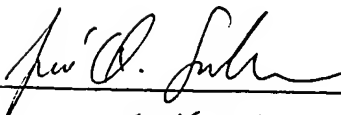
3.1 Non-RAFB Draft FSER Review

Once the Level 1 Primary (and Alternate for High priority FSERs) receives an email indicating a new draft FSER has been entered, they shall (1) be able to select the link in the email to review the FSER. They shall (2) also be able to access this FSER through the FSER Tool Main Menu by selecting step 2a then selecting the appropriate FSER in the list of draft FSERs.

On the review page (Review Drafts Page 2) the Level 1 personnel shall (3) be able to review the data entered by the Originator. Modifications can be made to all fields except those identified in Table 3.1 as System Generated or Can Not Be Modified.

The Review Draft FSER form shall (4) include the following fields (*-Required, !-System Generated, ^ Can Not be Modified):

Table 3.1 – Review Draft FSER Form Fields

• Originator (^)	• Customer Need Date (*)
• Organization (*)	• WUC
• Requesting Organization	• Part Number
• Mail Stop	• Nomenclature
• Phone Number (*)	• Serial Number
• Pager	• A/C Position
• FAX Number	• Attachment 1 (^)
• Category Assignment (*)	• Attachment 2 (^)
• Priority (*)	• Related FSERs
• Asset Impacted (*)	• Description of Problem
• Occurred During (*)	

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To make changes to the draft FSER, the Level 1 personnel makes the changes to the data fields then select the "Change Draft FSER" button. This action shall (5) cause the current page to reload with the modified information. Required are identified in Table 3.1. The change form shall (6) not process without these entries.

To approve a draft FSER the Level 1 personnel will select the "Accept Draft FSER" button. This will cause a variety of actions as described below.

First, the Level 1 person shall (7) receive a page indicating the FSER was accepted and the new FSER number that was assigned to it. Email messages shall (8) be sent to the Originator and all Level 2 personnel indicating a new FSER has been approved for processing. The email will point the Originator to the FSER report for this new FSER. The Level 2 Primary personnel will be instructed to review and assign the FSER to an area for work. The Level 2 Alternate personnel will be instructed to act if the FSER is High priority, otherwise they can view the FSER report. The Level 2 Review personnel will be directed to the FSER report for this FSER.

To reject a draft FSER the Level 1 personnel may select the Reject Draft FSER" button. This will cause Review Draft Page 3 to appear. On this page, the Level 1 personnel must enter a rationale for rejection. This field shall (9) be a required field. Once a rationale is entered, the Reject FSER button is selected to reject the FSER and send it to the archive. Upon rejection, the Originator shall (10) receive an email containing the FSER information along with the rationale for the rejection. Once rejected, this FSER shall (11) be only available to administrators of the FSER tool.
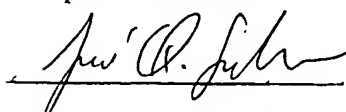
3.2   RAFB Draft FSERs Review

Once the RAFB Level 1 Primary (and Alternate for High priority FSERs) receives an email indicating a new draft FSER has been entered, they shall (1) be able to select the link in the email to review the FSER. Access to this FSER shall (2) also be available by going to the FSER Tool Main Menu, selecting step 2b then selecting the appropriate · FSER in the list of drafts.
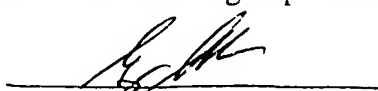
All processing for RAFB draft FSERs is identical to that outlined in section 3.1 above.

4.0   FSER Review Board Initial Review and Assignment

Step 3 of the FSER process (Figure 1.1) allows the FSER Review Board to approve or reject FSERs as well as assign FSERs to work groups. The Board should review the FSERs once the task has been completed. The board represents Levels 2 and 4 in the FSER process. This section covers only Level 2 action, FSER group assignment.

The board will approve or reject the FSER and if approved, assign the FSER based on the FSER's primary work requirements. The group or organization receiving the tasking represents Level 3 in the FSER process. The Level 3 groups that can be assigned a FSER

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are: Reach Back, Impact Analysis, Software, Support, Production and Program Depot Maintenance (PDM).

Once the Level 1 person approves an FSER, members of the Board (Level 2) will receive an email indicating the FSER is ready for their initial assignment. After receiving an email of an approved FSER the Level 2 Primary person (Possible the alternate person depending on the priority) assigns the FSER to a group for action. This is done on the Assign Group Page 1 of the tool. Additionally, there shall (1) be a link to the page where the Level 2 person can review and assign the FSER to one of the above groups. The Level 2 person shall (2) also be able to access this FSER by going to the FSER Tool Main Menu, selecting step 3 then selecting the appropriate FSER number in the list.

The Review Board Assign Page 1 form shall (3) include the following fields (*-Required, !-System Generated, ^ Can Not be Modified):

Table 4.1 – Review Board Assign Form Fields
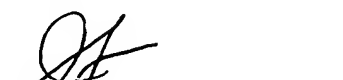
• Originator (^)	• Customer Need Date
• Organization (^)	• WUC
• Requesting Organization (^)	• Part Number
• Mail Stop (^)	• Nomenclature
• Phone Number (^)	• Serial Number
• Pager (^)	• A/C Position
• FAX Number (^)	• Attachment 1 (^)
• Category Assignment (*)	• Attachment 2 (^)
• Priority (*)	• Related FSERs
• Asset Impacted (*)	• Description of Problem (*)
• Occurred During (*)	

- FSER Review Board Action
- Action For
  - Reach Back
  - Impact Analysis
  - Software
  - Support
  - Production
  - PDM
- Review Board Receipt Date (!)
- Review Board Assigned Date (!)
- Initial Response Date
- Review Board Comments

The Level 2 primary personnel shall (4) be allowed to make changes to information pertaining to the actual problem. This should only be done to improve wording or remove "politically incorrect" text. To approve the FSER approve is selected in the

FSER Review Board Action field. To reject the FSER reject is selected in the FSER Review Board Action field. To assign an FSER requires selecting the group to assign the FSER to, providing additional required information, and then selecting the Assign FSER button. FSER approval and assignment will cause the following actions.

First, the Level 2 person shall (5) receive a page indicating the FSER was assigned to the selected groups. Email messages shall (6) be sent to the Originator, all Level 1 primary personnel, and the primary and alternate of the assigned group (Level 3 personnel). This email shall (7) indicate a new FSER has been assigned to a particular group for further processing and assignment to workers.

The email will point everyone except the group leads to the FSER report. The Level 3 (group leads) Primary personnel are to review and further assign the FSER to their personnel for work. The Level 3 Alternate personnel will be instructed to act if the FSER is High priority, otherwise they can view the FSER report. The Level 3 Review personnel will be directed to the FSER report via a hot link.

Rejecting the FSER at this step will cause the following actions.

The Originator and Level 1 personnel shall (8) receive an email indicating the Review Board rejected the FSER and the rationale for the rejection. The FSER will remain in the system but will be closed and no further action can be performed on it.
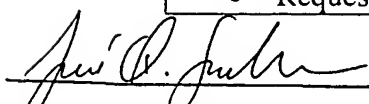
5.0   Assign Actionees to FSER

Step 4 of the FSER process (Figure 1.1) allows the group leads assigned to work the FSER the ability to assign employees to an FSER. They should also provide a suspense date and a job charge for working the task. The report for this FSER can then act as the workers Employee Work Authorization Summary (EWAS).
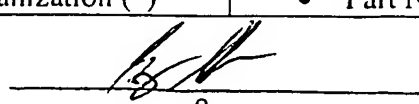
Once the Board distributes a FSER, the group lead it is assigned to will assign the FSER to their employees. The email the Primary group lead receives provides a link to the Assign Actionees Page 1. They shall (1) also be able to access this FSER by going to the FSER Tool main menu, selecting step 4 then selecting the appropriate FSER in the list. After receiving the email the Level 3 Primary person (possibly the Alternate person depending on the priority) assigns the FSER to one or more of their employees. The FSER shall (2) be assigned to up to five employees.
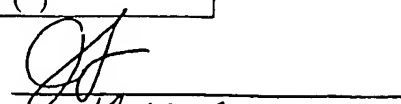
The Assign Actionees Page 1 form shall (3) include the following fields (*-Required, !-System Generated, ^ Can Not be Modified):

Table 5.1 – Assign Actionee Form Fields

• Originator (^)	• Customer Need Date (^)
• Organization (^)	• WUC (^)
• Requesting Organization (^)	• Part Number (^)
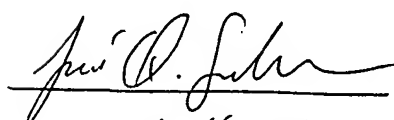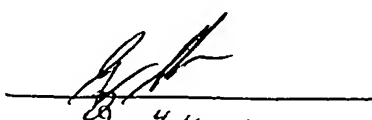
• Mail Stop (^)	• Nomenclature (^)
• Phone Number (^)	• Serial Number (^)
• Pager (^)	• A/C Position (^)
• FAX Number (^)	• Attachment 1 (^)
• Category Assignment (^)	• Attachment 2 (^)
• Priority (^)	• Related FSERs (^)
• Asset Impacted (^)	• Description of Problem (*)
• Occurred During (^)	
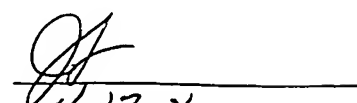
- Action For (^)
  - o Reach Back (^)
  - o Impact Analysis (^)
  - o Software (^)
  - o Support (^)
  - o Production (^)
  - o PDM (^)
- Review Board Receipt Date (^)
- Review Board Assigned Date (!)
- FSER Status (!^)
- Initial Response Date (*)
- Estimated Completion Date (*)
- Job Charge (*)
- Actionee Email (*)
- Level 3 Comments

The Level 3 primary personnel (Alternate depending on the FSER priority) may make changes to information pertaining to the actual problem. This should only be done to improve wording or remove "politically incorrect" text. To assign the FSER to employees the Level 3 person must enter a job charge, initial response date and estimated completion date then enter the Actionee's Windows NT 5+2 logon name. (This is typically the first 5 letters of the person's last name plus the first 2 letters of their first name. Such as Jack Rabbit would be rabbija.) From this information, the employee's full name and phone number can be determined. To assign the FSER to Actionees, the Level 3 person shall (4) select the Assign FSER button. This will cause a variety of actions.

First, the Actionee's NT 5+2 will be validated. If this value is not in the Northrop Grumman system, an error message shall (5) appear with further instructions. Otherwise, a confirmation page shall (6) appear. If the Actionee selections are confirmed, a page indicating the assignment was successful will appear. Email messages shall (7) be sent to the Originator, the Actionees, and the Board (Level 2). This email shall (8) indicate an FSER has been assigned for work, the FSER information, and a notice to the Actionees to provide periodic status (through step 5 of the FSER process). This email will point the Originator and the Board to the report for this FSER. The Actionees will be directed to the Status/Final Response page to provide periodic status.

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Step 4 of the FSER process shall (9) be available to Primary Level 3 personnel for later Actionee assignment or changes. However, on any change to the list of Actionees, one email message will be provided to all new Actionees while a different email message will be provided to removed Actionees. Actionees unchanged will not receive a second email message.

6.0   Periodic Status and Final Response

Step 5 of the FSER process (Figure 1.1) allows the Actionees, Level 3 Primary personnel and the Originator to provide periodic status on their effort against an assigned FSER. Additionally, it provides space for the final response or answer that solves the problem identified in the FSER description. Status should be updated at least weekly in order to provide the entire FS community insight into activity on the FSER.

Once the FSER has been assigned to the Actionees, the Actionees, Level 3 Primary personnel and Originator will provide status on action being performed on the FSER. Each of these people has received an email with a link to the Status/Final Response Page 2. They shall (1) also be able to access this FSER by going to the FSER Tool main menu, selecting step 5 then selecting the appropriate FSER in the list.

The Status/Final Response Page 1 form shall (2) include the following fields (*-Required, !-System Generated, ^ Can Not be Modified):

Table 6.1 – Status / Final Response Form Fields

• Originator (^)	• Customer Need Date (^)
• Organization (^)	• WUC (^)
• Requesting Organization (^)	• Part Number (^)
• Mail Stop (^)	• Nomenclature (^)
• Phone Number (^)	• Serial Number (^)
• Pager (^)	• A/C Position (^)
• FAX Number (^)	• Attachment 1 (^)
• Category Assignment (^)	• Attachment 2 (^)
• Priority (^)	• Related FSERs (^)
• Asset Impacted (^)	• Description of Problem (*)
• Occurred During (^)	

o   Action For (^)
• Review Board Receipt Date (^)
• Review Board Assigned Date (^)

• FSER Status (!^)
• Review Board Receipt Date (^)
• Review Board Assigned Date
• Initial Response Date (^)

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- Estimated Completion Date
- Job Charge (^)
- Assigned Date (^)
- Actionee (^)
- Actionee Phone (^)
- Final Response
- Response Attachment
- Response Attachment Description
- Status Report

• Forward to FSER Review Board (Level 3 Only)

After selecting an FSER the Level 3 Primary personnel (Alternate depending on the FSER priority), the Originator and the Actionees shall (3) be provided the ability to make changes to the FSER description, estimated completion date, status report, final response as well as add or modify a response attachment file.
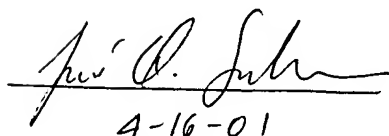
A final response shall (4) be required when an attachment is added. Since the final response attachment will be used only when the FSER work is completed, only one attachment shall (5) be allowed. A date, time and name stamp will be included with all entries in the final response and status report fields. There shall (6) be no limit to the number of status report or final response entries allowed to any FSER. However, once the FSER is forwarded to Step 6, no further status or final response data can be added.
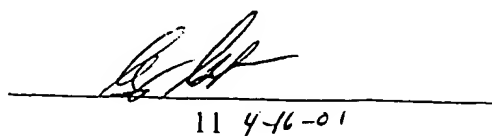
When a Level 3 person enters this area for an FSER that has had a Final Response change, they shall (7) be presented with a form field allowing them to send the FSER to Level 4, FSER Review Board.
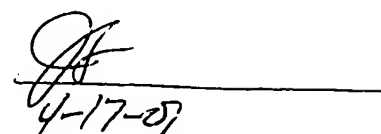
To add status report or final response information, the Actionee, Originator or Level 3 person enters the data then selects the "Submit FSER Response / Status" button. This will cause a variety of actions.

The person entering the data shall (8) be informed that the status report and/or the final response have been updated. When the text in the final response field changes the Level 3 personnel shall (9) be notified via email. This email shall (10) indicate a final response has been provided on an existing FSER and further review by Level 3 personnel needs to occur. Level 3 personnel will be instructed to view forward the FSER to the FSER Review Board.

While the FSER is awaiting action at steps 5 and 6 by the Level 3 personnel or the Board (Level 4), additional status report and final response text shall (11) be allowed. The Level 3 Primary personnel shall (12) have the ability to change the Final Response provided by Actionees or the Originator. This ensures the final response represents the company's position and not one individual's.

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7.0   FSER Review Board Review and Approval

Step 6 of the FSER process is the Review Board Approval and the second action required by the Board. When the Level 3 person completes their work on the FSER and forwards the FSER to the Board, the members of the Board are informed via email. Personnel here are at Level 4. Primary Level 4 personnel (and Alternates depending on the priority of the FSER) will review the competed FSER and accept or reject the results. If accepted, the FSER moves to step 7 for final closure. If the FSER is rejected, it will be routed to the Level 3 personnel for further work.

Once a final response has been provided by the Actionee(s) and the Level 3 person has forwarded the FSER to the Board, the Board at Level 4 will receive an email indicating the FSER is ready for their review and approval for closure. The email will contain a link to the page where the Level 4 person can review and approve for closure the FSER. They shall (1) also be able to access this FSER by going to the FSER Tool main menu, selecting step 6 then selecting the appropriate FSER number in the list. At any time after receiving the email the Level 4 Primary person (Alternate depending on the priority) may review and approve or reject the FSER for final closure. This is done on the FSER Review Board Review and Approval Page 1 of the tool.
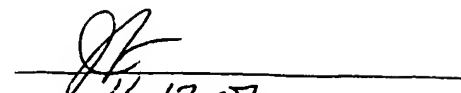
The Review Board Review and Approval Page 1 form shall (2) include the following fields (*-Required, !-System Generated, ^ Can Not be Modified):

Table 7.1 – Review Board Review and Approve Form Fields

• Originator (^)	• Customer Need Date (^)
• Organization (^)	• WUC (^)
• Requesting Organization (^)	• Part Number (^)
• Mail Stop (^)	• Nomenclature (^)
• Phone Number (^)	• Serial Number (^)
• Pager (^)	• A/C Position (^)
• FAX Number (^)	• Attachment 1 (^)
• Category Assignment (^)	• Attachment 2 (^)
• Priority (^)	• Related FSERs (^)
• Asset Impacted (^)	• Description of Problem (^)
• Occurred During (^)	

- Action For (^)
  - Reach Back (^)
  - Impact Analysis (^)
  - Software (^)
  - Support (^)
  - Production (^)
  - PDM (^)
- Review Board Receipt Date (^)

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- Review Board Assigned Date (^)

- FSER Status (!^)
- Review Board Receipt Date (^)
- Review Board Assigned Date (^)
- Initial Response Date (^)
- Estimated Completion Date (^)
- Job Charge (^)
- Assigned Date (^)
- Actionee Email (^)
- Actionee Phone (^)
- Final Response (^)
- Response Attachment (^)
- Response Attachment Description (^)

- Status Report (^)
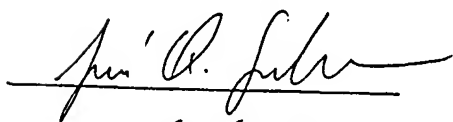

- Review Board Approve for Closure
- Review Board Comments

The Level 4 Primary personnel (alternate depending on the FSER priority) may approve or reject the FSER for final closure. Selecting "YES" in the concurrence field on the form will accept the FSER for closure. Rejecting an FSER is done by selecting "NO" in the concurrence field and entering comments to justify the rejection. Comments are optional when approving the FSER and required when rejecting the FSER.
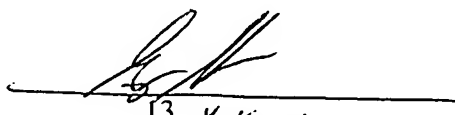
Accepting a FSER will cause a variety of actions to occur. Email shall (3) be sent to the Level 5 personnel for their concurrence and to the Originator for their review of the FSER final response. The email to the Level 5 personnel shall (4) contain a link to the Final Closure Page 1 where they can review and close the FSER. The email to the Originator shall (5) contain a link to the FSER report where they can review all information about the FSER.
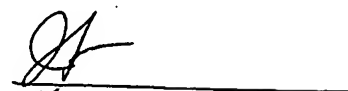
To reject an FSER, comments must be entered to assist the Level 3 personnel and Actionees when re-working the problem. Rejecting the FSER will cause a variety of actions to occur.

Email shall (6) be sent to the Level 3 personnel indicating the FSER was rejected and further work is needed. It is then the responsibility of the Level 3 personnel to contact the Actionees and provide instruction. The FSER will be reset to step 5 of the FSER process and continue on as before.

All comments provided by Level 4 personnel shall (7) be retained along with date, time and name stamps.

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8.0   Final Closure

Step 7 is the final closure of a FSER performed by Level 5 personnel. When the Board has accepted the FSER at step 6, the Level 5 personnel will receive an email containing the FSER information and any status, final response and comments thus far provided. Primary Level 5 personnel (and Alternates depending on the priority of the FSER) will review the FSER, coordinate with the Originator, and accept or reject the FSER. If accepted, the FSER is closed and can no longer be worked. If rejected, it will be routed to the Level 3 personnel for further work.
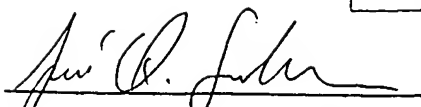
Once the board has approved the FSER for closure the Level 5 personnel will receive an email indicating the FSER is ready for their review and final closure. In the email will be a link to the page where the Level 5 person can review and approve the FSER for final closure. The Level 5 person shall (1) also be able to access this FSER by going to the FSER Tool main menu, selecting step 7 then selecting the appropriate FSER in the list. As soon as possible after receiving the email the Level 5 Primary person (Alternate depending on the priority) may review and approve or reject the FSER for final closure. This is done on FSER Final Closure Page 1 of the tool.
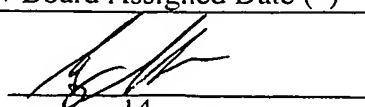
The Status/Final Response Page 1 form shall (2) include the following fields (*-Required, !-System Generated, ^ Can Not be Modified):
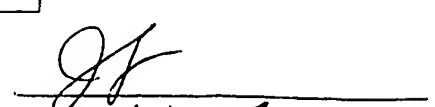
Table 8.1 – Final Closure Form Fields

• Originator (^)	• Customer Need Date (^)
• Organization (^)	• WUC (^)
• Requesting Organization (^)	• Part Number (^)
• Mail Stop (^)	• Nomenclature (^)
• Phone Number (^)	• Serial Number (^)
• Pager (^)	• A/C Position (^)
• FAX Number (^)	• Attachment 1 (^)
• Category Assignment (^)	• Attachment 2 (^)
• Priority (^)	• Related FSERs (^)
• Asset Impacted (^)	• Description of Problem (^)
• Occurred During (^)	

- Action For (^)
  - Reach Back (^)
  - Impact Analysis (^)
  - Software (^)
  - Support (^)
  - Production (^)
  - PDM (^)
- Review Board Receipt Date (^)
- Review Board Assigned Date (^)

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- FSER Status (!^)
- Review Board Receipt Date (^)
- Review Board Assigned Date (^)
- Initial Response Date (^)
- Estimated Completion Date (^)
- Job Charge (^)
- Assigned Date (^)
- Actionee Email (^)
- Actionee Phone (^)
- Final Response (^)
- Response Attachment (^)
- Response Attachment Description (^)

- Status Report (^)

- Review Board Approve for Closure (^)
- Review Board Comments (^)
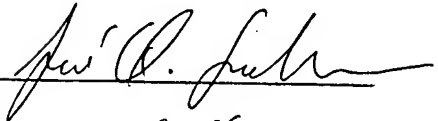

- Approve for Final Closure
- Final Closure Comments

Selecting "YES" on the concurrence field on the form accepts the FSER for closure. Rejecting an FSER is done by selecting "NO" on the concurrence field and entering comments to justify the rejection. Comments are optional when approving the FSER for closure and required when rejecting the FSER.
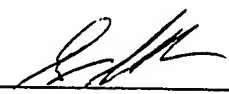
Accepting a FSER for closure will cause a variety of actions to occur. All Levels as well as the Originator and Actionees shall (3) be sent email indicating the FSER was approved and closed. The email to all personnel shall (4) contain a link to the FSER report. Once closed, this FSER can no longer be worked and shall (5) not be available for any other inputs.
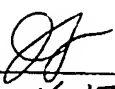
To reject an FSER, comments must be entered to aid the Level 3 personnel and Actionees when re-working the problem. Rejecting the FSER will cause a variety of actions to occur.

Email shall (6) be sent to the Level 3 personnel indicating the FSER was rejected for final closure and further work is needed. It is then the responsibility of the Level 3 personnel to contact the Actionees and provide instruction. The FSER will be reset to step 5 of the FSER process and continue on as before.

All comments provided by Level 5 personnel shall (7) be retained along with date, time and name stamps.

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9.0 Reports

All persons on the Northrop Grumman Corporation unclassified network shall (1) have access to the FSER reports. All open and closed FSERs shall (2) be available for viewing by all personnel. Draft FSERs (those not yet approved at steps 2a and 2b) shall (3) only be available to all Level personnel and the Originator of the draft FSER.

Reports can be queried in a variety of ways. These shall (4) include but not be limited to:

- Show all FSERs
- Keyword search
- Status search (Open or Closed)
- Category
- Job Charge
- Asset
- FSER Number

FSER reports shall (5) contain all information available on the selected FSER at that time. For example, if a FSER is at step 3 of the FSER process, there will be no status report or final response data and these fields will not appear on the report. No information shall (6) be filtered out to meet special needs/requests.

A restricted access statistics reports section shall (7) be created to provide things such as:

- Number of Open or Closed FSERs
- Average time to close FSERs
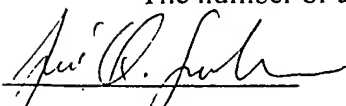- Other statistics applicable to the different Level personnel

This statistics section shall (8) be accessible to all personnel assigned in the system.
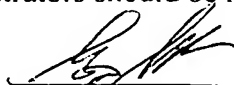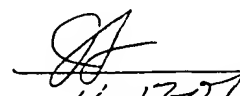
10.0 Administration

The administration section of the FSER tool shall (1) allow the tool administrators the capability to:

- Add personnel to different Levels
- Adjust the Levels of existing personnel
- Delete existing personnel
- Modify the lists used in the process (Priority, Category, Asset, etc.)
- View all personnel in the system
- View rejected FSERs
- Directly modify FSERs to correct text or erroneous entries.

The number of administrators should be kept to a minimum.